



U.S. COMMODITY FUTURES TRADING COMMISSION

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Office of Proceedings

**VISION FINANCIAL MARKETS, LLC D/B/A VISION AND D/B/A VISION
LIMITED PARTNERSHIP**

(170 Reparations Cases)

(These are 134 of the most recent cases)

1. 94-R020
Janet Bramble v. Commonwealth Financial Group, Inc., Russell Harold Hertzler, Charles Paul Hoffercker, Joseph Loish, Jr., and Vision Limited Partnership
Date filed: 11/8/93
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Unauthorized Trading, Churning, Failure to Supervise and Non-disclosure
Amount Claimed: \$60,000.00
Status: Order of Dismissal/Settled (as to Vision Limited Partnership only) 4/25/94
2. 94-R021
James Hogseth v. Ira Albert Boshnack, Robert Boshnack, John Gardner Burgess, Commonwealth Financial Group, Inc., Charles Paul Hoffercker, Howard Martin Rothman, Steven David Schwartz and Vision Limited Partnership
Date filed: 11/8/93
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure, Churning and Failure to Supervise
Amount Claimed: \$134,500.00
Status: Case Terminated as to Vision/Settled 1/25/94
3. 94-R022
Vincent P. Zizzo v. Randy Jay Burstein, Carrington Financial Group, Inc., Vision Limited Partnership and Marc Stephen Wuensch
Date filed: 11/9/93
Allegation(s): Misrepresentation, Misappropriation of Funds, Unauthorized Trading, Failure to Supervise, Breach of Fiduciary Duty and Non-disclosure
Amount Claimed: \$29,000.00
Status: Initial Decision/Dismissed (as to Vision Limited Partnership only) 5/23/94
4. 94-R026
Cathy J. Bendix Davis v. Commonwealth Financial Group, Inc., Max Goldstein and Vision Limited Partnership
Date filed: 11/18/93
Allegation(s): Misrepresentation and Non-disclosure
Amount Claimed: \$4,122.00
Status: Case Terminated as to Vision/Settled 12/17/93

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5. 94-R040
Selim Khatibi v. Commonwealth Financial Group, Inc., Vision Limited Partnership,
Robert E.. Kane and Charles P. Hoffecker
Date filed: 12/20/93
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure, Churning,
Failure to Supervise and Unauthorized Trading
Amount Claimed: \$21,884.64
Status: Order of Dismissal/Settled (as to Vision Limited Partnership only) 12/17/93
6. 94-R042
George Connors v. Commonwealth Financial Group, Inc., Vision Limited
Partnership, Linda Ann Watson and Charles Paul Hoffecker
Date filed: 12/20/93
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure, Churning,
Failure to Supervise and Unauthorized Trading
Amount Claimed: \$17,500.00
Status: Case Terminated as to Vision/Settled 1/25/94
7. 94-R050
Anthony D. Perez v. Commonwealth Financial Group, Inc., Charles Paul
Hoffecker (Chip), Arthur Robert Rosansky and Vision Limited Partnership
Date filed: 1/18/94
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure, Failure to
Supervise and Unauthorized Trading
Amount Claimed: \$8,430.00
Status: Case Terminated as to Vision/Settled 3/11/94
8. 94-R077
Mancel A. May v. Gloria Anne Albino, Commonwealth Financial Group, Inc., and
Vision Limited Partnership
Date filed: 3/1/94
Allegation(s): Misrepresentation, Breach of Fiduciary Duty and Failure to Supervise
Amount Claimed: \$8,465.00
Status: Case Terminated as to Vision/Settled 4/26/94

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9. 94-R087
Meir Duke v. Marc Barry Singer, Super Fund Financial Group, Inc., and Vision Limited Partnership
Date filed: 3/25/94
Allegations: Misrepresentation, Breach of Fiduciary Duty, Failure to Supervise and Churning
Amount Claimed: \$173,353.00
Status: Initial Decision 8/4/95 (Respondents ordered to pay \$173,353.00); Appealed 8/22/95; Order Pursuant to Delegated Authority/Settled 10/31/95
10. 94-R115
Larry E. and Doris M. Neville v. First Investors Group of Palm Beaches, Inc., Bryan Oldford Tierney and Vision Limited Partnership
Date filed: 5/2/94
Allegations: Misrepresentation, Breach of Fiduciary Duty, Non-disclosure, Churning and Failure to Supervise
Amount Claimed: \$88,175.00
Status: Order of Dismissal/Settled (as to Vision Limited Partnership only) 1/17/95
11. 94-R125
Jean Jacques v. Commonwealth Financial Group, Inc., Charles P. ("Chip") Hoffecker, Philip Mark Tuccelli, Allan Ader, Robert Boshnack and Vision Limited Partnership
Date filed: 5/23/94
Allegation(s): Misrepresentation, Failure to Supervise and Churning
Amount Claimed: \$211,035.63
Status: Order of Dismissal/Settled 12/30/94
12. 94-R131
Haiyan Peng v. Vision Limited Partnership
Date filed: 6/7/94
Allegation(s): Misrepresentation, Failure to Supervise and Churning
Amount Claimed: \$6,250.00
Status: Initial Decision/Dismissed 11/29/94; Appealed 12/19/94; Order of Summary Affirmance 6/27/95

**VISION FINANCIAL MARKETS, LLC D/B/A VISION AND D/B/A VISION
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13. 94-R132
Brian C. Wicketts v. Commonwealth Financial Group, Inc., Vision Limited Partnership and Michael Frederick Staryk
Date filed: 6/14/94
Allegation(s): Misrepresentation and Churning
Amount Claimed: \$5,919.91
Status: Case Terminated/Settled (as to Vision Limited Partnership only) 8/4/94
14. 94-R141
Cash Until Payday, Inc. and Henry Holden v. James A. Bradford, The Hampton Group, Inc., Richard J. Roberts and Vision Limited Partnership
Date filed: 6/27/94
Allegation(s): Misrepresentation and Unauthorized Trading
Amount Claimed: \$735.58
Status: Case Terminated/Settled 8/29/94
15. 94-R144
Anthony J. & Nellie Maselli v. Commonwealth Financial Group, Inc., Cromwell Financial Services, Inc., Jayson Scott Kline, Michael Kochlany and Vision Limited Partnership
Date filed: 7/7/94
Allegation(s): Misrepresentation, Breach of Fiduciary Duty and Non-disclosure
Amount Claimed: \$41,870.50
Status: Order of Dismissal/Settled 12/27/94
16. 94-R160
James V. Scarsellato v. Commonwealth Financial Group, Inc., Vision Limited Partnership, Jayson Scott Kline, and Mark Stephen Hutcherson
Date filed: 8/8/94
Allegation(s): Misrepresentation, Non-disclosure, Mishandling Orders, Churning and Unauthorized Trading
Amount Claimed: \$10,991.45
Status: Order of Dismissal/Settled 12/28/94

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17. 94-R164
Alec Wardyga v. First Investors Group of Palm Beaches Inc., Robert Eugene Vetere and Vision Limited Partnership
Date filed: 8/15/94
Allegation(s): Misrepresentation, Misappropriation of Funds, Breach of Fiduciary Duty, Unauthorized Trading and Non-disclosure
Amount Claimed: \$46,403.40
Status: Order of Dismissal of Respondent Vision Limited Partnership 12/28/94
18. 94-R174
Andrew and Gloria Gavron v. Commonwealth Financial Group, Inc., William Alan Gale And Vision Limited Partnership
Date filed: 9/2/94
Allegation(s): Misrepresentation, Breach of Fiduciary Duty and Failure to Supervise
Amount Claimed: \$8,512.00
Status: Order of Dismissal/Settled 1/4/95
19. 94-R180
John J. Disciullo, Jr. v. Commonwealth Financial Group, Inc., Charles Paul Hoffecker a/k/a Chip Hoffecker, Michael Frederick Staryk & Vision Limited Partnership
Date filed: 9/12/94
Allegation(s): Misrepresentation, Breach of Fiduciary Duty and Failure to Supervise
Amount Claimed: \$5,343.00
Status: Order of Dismissal Pursuant to Settlement 4/6/95
20. 94-R185
Andrew G. Cochran v. Pattison Commodities d/b/a S. Bruce Pattison, S. Bruce Pattison and Vision Limited Partnership
Date filed: 9/20/94
Allegation(s): Misrepresentation, Mis-Management, Breach of Fiduciary Duty, Failure to Supervise, Non-disclosure and Churning,
Amount Claimed: \$12,000.00
Status: Order of Dismissal/Settled 2/3/95

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21. 95-R028
William J. and Dorothy A. Tirocchi v. Allan Steven Ader, American Futures Group, Inc., Commonwealth Financial Group, Inc., Max Goldstein, Charles Paul Hoffecker and Vision Limited Partnership
Date filed: 12/12/94
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure and Failure to Supervise
Amount Claimed: \$11,477.48
Status: Order of Dismissal on Settlement (Partial) and Notice Concerning Settlement with CFG Respondents/Settled as to Vision Limited Partnership 6/26/95
22. 95-R031
Calvin C. Willis v. Paulino Rene Dias, Jr., Andrew Cherng Hwang, Statewide Trading Corporation and Vision Limited Partnership
Date filed: 12/19/94
Allegation(s): Misrepresentation and Non-disclosure
Amount Claimed: \$5,000.00
Status: Case Terminated/Dismissed 2/10/95
23. 95-R041
Julio De Jesus v. Concorde Trading Group, Inc., Richard Michael Rosengarten and Vision Limited Partnership
Date filed: 1/23/95
Allegation(s): Misrepresentation
Amount Claimed: \$1,300.00
Status: Case Terminated/Settled 3/31/95
24. 95-R048
Jack Keefe v. Commonwealth Financial Group, Inc., Russell Harold Hetzler and Vision Limited Partnership
Date filed: 2/2/95
Allegation(s): Misrepresentation, Non-disclosure, Unauthorized Trading and Churning
Amount Claimed: \$105,956.44
Status: Dismissal on Settlement 1/19/96

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25. 95-R049
Peter R. Richard v. FSG International, Inc., Andrew Cunningham J. Pepper and Vision Limited Partnership
Date filed: 2/6/95
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Mishandling Orders, Failure to Supervise and Churning
Amount Claimed: \$6,000.00
Status: Order of Dismissal of Respondent Vision/Settled 4/20/95
26. 95-R056
Leo Kellenberger v. Edward Thomas Trading Co., Edward Thomas Gomes and Vision Limited Partnership
Date filed: 2/21/95
Allegation(s): Misrepresentation, Unauthorized Trading and Churning
Amount Claimed: \$3,923.82
Status: Initial Decision/Dismissed 8/17/95
27. 95-R061
Lawrence P. Hale v. Concorde Trading Group, Inc., Kathleen Elaine King and Vision Limited Partnership
Date filed: 3/13/95
Allegation(s): Misrepresentation, Failure to Supervise and Non-disclosure
Amount Claimed: \$5,000.00
Status: Order of Dismissal on Settlement 7/21/95
28. 95-R079
Dewitt Boice v. Colin Hayes Sullivan, Colin Hayes Sullivan d/b/a Global Futures and Vision Limited Partnership
Date filed: 4/17/95
Allegation(s): Unauthorized Trading
Amount Claimed: \$1,271.66
Status: Order of Dismissal/Settled 5/16/96
29. 95-R092
Anthony G. & Jolanta E. Davenport v. Concorde Trading Group, Inc., Craig Goldberg, Lawrence Richard Plastino, Arthur John Schlecht and Vision Limited Partnership
Date filed: 5/4/95
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Unauthorized Trading, Churning and Non-disclosure
Amount Claimed: \$17,256.59
Status: Order of Dismissal with Prejudice/Settled 4/26/96

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30. 95-R096
Henry F. Straub v. Colin Hayes Sullivan, Colin Hayes Sullivan d/b/a Global Futures and Vision Limited Partnership
Date filed: 5/19/95
Allegation(s): Unauthorized Trading
Amount Claimed: \$2,500.00
Status: Order of Dismissal/Settled 12/4/95
31. 95-R098
Michael N. & Mary Stroganoff v. John Randall Gladden, Heritage West Financial, Inc., and Vision Limited Partnership
Date filed: 5/23/95
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure, Churning and Unauthorized Trading, Churning and Non-disclosure
Amount Claimed: \$5,000.00
Status: Order of Dismissal on Settlement (as to Heritage West Financial, Inc., and Vision Limited Partnership) 9/7/95
32. 95-R103
Roger Levinsohn v. Robert Boshnack, Commonwealth Financial Group, Inc., Gary Allen Fader, Jack Hipolito Fernandez, Anthony Lee Rick, Charles Paul Hoffecker, Philip Carl Mullan and Vision Limited Partnership
Date filed: 6/2/95
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure, Churning and Failure to Supervise
Amount Claimed: \$35,367.00
Status: Case Terminated/Settled (as to Respondents Robert Boshnack and Vision Limited Partnership only) 8/17/95
33. 95-R109
Lucia Young v. Concorde Trading Group, Inc., Craig Goldberg, Lawrence Richard Plastino, Arthur John Schlecht and Vision Limited Partnership
Date filed: 6/15/95
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure and Failure to Supervise
Amount Claimed: \$24,415.27
Status: Order of Dismissal 6/10/96

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34. 95-R133
The Violette Group, Inc. v. John Fredrick Ackermann, Patrick Carl Claflin, Dennis Lee Simpson, Sterling Investments of America, Sterling Investments of America Inc., Sterling Investments of America Inc., and Vision Limited Partnership
Date filed: 8/7/95
Allegation(s): Mishandling Orders and Unauthorized Trading
Amount Claimed: \$2,524.04
Status: Case Terminated/Settled (as to Vision Limited Partnership only) 11/8/95
35. 96-R001
Scott A. Young v. Robert Alan Simmons, Robert Alan Simmons *d/b/a* KC Futures & Options and Vision Limited Partnership
Date filed: 10/4/95
Allegation(s): Misrepresentation, Breach of Fiduciary Duty and Unauthorized Trading
Amount Claimed: \$4,878.69
Status: Case Terminated/Settled 12/5/95
36. 96-R003
Marilyn M. Sheffield v. Carrington Financial Corp., Vision Limited Partnership and Stephen Mark Smith
Date filed: 10/11/95
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure, Churning and Failure to Supervise
Amount Claimed: \$28,677.70
Status: Case Terminated/Settled 12/4/95
37. 96-R017
John A. McCann v. Jamie Lee Carroll, Cromwell Financial Services, Inc., Robert Paul Nixon, Michael Frederick Staryk, III, and Vision Limited Partnership
Date filed: 11/8/95
Allegation(s): Unauthorized Trading and Non-disclosure
Amount Claimed: \$11,914.72
Status: Case Terminated/Settled 12/27/95
38. 96-R020
Bruce B. & Fay R. Geradine v. Concorde Trading Group, Inc., Craig Goldberg, Patrick Todd Parker and Vision Limited Partnership
Date filed: 11/15/95
Allegation(s): Misrepresentation
Amount Claimed: \$2,183.91
Status: Order of Dismissal 5/22/96

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39. 96-R050
James Ahlstedt v. Capitol Commodity Services, Inc., Edmund K. Hysni, Alan J. Cohen
a/k/a Lannie Cohen and Vision Limited Partnership
Date filed: 2/12/96
Allegation(s): Mishandling Orders and Unauthorized Trading
Amount Claimed: \$25,000.00
Status: Initial Decision/Dismissed 12/19/96; Appealed 1/8/97; Opinion and Order (Case
Remanded) 8/12/97; Order of Dismissal 10/21/97
40. 96-R061
Harry C. Heindel v. George Grigorellis, GCC Commodities Corp., and Vision Limited
Partnership
Date filed: 2/27/96
Allegation(s): Misappropriation of Funds, Breach of Fiduciary Duty, Unauthorized
Trading and Churning
Amount Claimed: \$8,256.00
Status: Order of Dismissal/Settled 9/17/96
41. 96-R095
Eugene Whitwell v. Concorde Trading Group, Inc., Jessica Zoe Epstein and Vision
Limited Partnership
Date filed: 5/10/96
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure and Failure
to Supervise
Amount Claimed: \$17,422.40
Status: Order of Dismissal/Settled 10/30/96
42. 96-R102
Robert D. & Joyce Larsen v. Ronald Frederick Gruschow, Gary Richard Shepherd,
Vision Limited Partnership and Sawgrass Financial Group, Inc.
Date filed: 5/20/96
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure and
Churning
Amount Claimed: \$7,346.00
Status: Case Terminated/Settled 8/27/96

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43. 96-R116
Albert J. DiBlasio, Sr. and Albert J. DiBlasio, Jr. v. Commodity Programs, Inc.-FL, Robert Joseph Pelaez, Donna Elizabeth Randall and Vision Limited Partnership
Date filed: 6/19/96
Allegation(s): Breach of Fiduciary Duty, Non-disclosure, Unauthorized Trading, and Failure to Supervise
Amount Claimed: \$16,381.20
Status: Order Dismissing Complainant Albert J. DiBlasio, Sr., and Order Dismissing Vision Limited Partnership 8/14/97
44. 96-R134
James L. Whigham v. First Investors Group of Palm Beaches, Inc., Richard L. Hamilton and Vision Limited Partnership
Date filed: 7/15/96
Allegation(s): Misrepresentation
Amount Claimed: \$5,000.00
Status: Order of Dismissal/Settled 10/7/97
45. 96-R138
Gaurang T. Bhatt v. First Pacific Trading Group, William Dean Katzelis and Vision Limited Partnership
Date filed: 7/15/96
Allegation(s): Misrepresentation, Unauthorized Trading and Churning
Amount Claimed: \$3,187.50
Status: Order of Dismissal/Settled 8/26/97
46. 96-R139
Charlie Brown v. Andrew David Fisher, FSG International, Inc., and Vision Limited Partnership
Date filed: 7/17/96
Allegation(s): Misrepresentation, Breach of Fiduciary Duty and Failure to Supervise
Amount Claimed: \$5,000.00
Status: Order of Dismissal/Settled 3/21/97
47. 97-R052
Kevin Brady v. Concorde Trading Group, Inc., Brian Stanley Earle and Vision Limited Partnership
Date filed: 3/12/97
Allegation(s): Misrepresentation, Non-disclosure and Fraud
Amount Claimed: \$11,931.00
Status: Case Terminated/Settled (as to Respondent Vision Limited Partnership) 6/3/97

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48. 97-R073
Michael Burton Buckler, Jr. v. Castle Commodities Corporation, ING (US) Securities Futures & Options, Inc., Walter Joseph Landry, Potomac Futures d/b/a Universal Financial Bancorp, Inc., and Vision Limited Partnership
Date filed: 5/1/97
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure, Churning, Fraud and Unauthorized Trading
Amount Claimed: \$37,637.64
Status: Order of Dismissal 2/27/98
49. 97-R082
Robert L. Morris v. Alaron Trading Corporation, Robert Boshnack, Howard Martin Rothman, Vincent Patrick Varbero, Vincent Patrick Varbero d/b/a Gallant Trading Group and Vision Limited Partnership
Date filed: 5/23/97
Allegation(s): Misrepresentation, Negligence and Unauthorized Trading
Amount Claimed: \$16,000.00
Status: Order of Dismissal/Settled 2/24/98
50. 97-R084
Robert Mahailovich v. Vision Limited Partnership, Crowflite Corporation and James Stephen Crow
Date filed: 5/28/97
Allegation(s): Unauthorized Trading, Failure to Supervise and Fraud
Amount Claimed: \$50,000.00
Status: Order Dismissing Reparation Proceeding 12/8/97
51. 97-R105
Badraddin Charania v. Fidelity Mercantile Corp., Vision Limited Partnership and Edward David Webb
Date filed: 7/7/97
Allegation(s): Misrepresentation, Mishandling Orders and Fraud
Amount Claimed: \$9,471.26
Status: Order of Dismissal 8/31/98

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52. 97-R114
Sheila Stabile and Douglas E. Stabile, DPM v. Castle Commodities Corporation, John David James, Carla Yvonne Mora, Muraji Nakazawa and Vision Limited Partnership
Date filed: 7/29/97
Allegation(s): Misrepresentation, Failure to Supervise, Non-disclosure, Churning and Unauthorized Trading
Amount Claimed: \$13,856.25
Status: Order of Dismissal 11/20/98
53. 97-R138
Kenneth M. O'Brien v. Castle Commodities Corporation, Yu-Dee Chang, Yu-Dee Chang & Company, Inc., and Vision Limited Partnership
Date filed: 9/10/97
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Unauthorized Trading and Churning
Amount Claimed: \$14,445.15
Status: Case Terminated 12/23/97
54. 98-R060
Jeffrey A. Meyers v. Gregory William Elliott d/b/a Sunrise Trading Group, Maurice Yogie Jackson and Vision Limited Partnership
Date filed: 12/24/97
Allegation(s): Misrepresentation and Churning
Amount Claimed: \$7,000.00
Status: Case Terminated/Settled 3/10/98
55. 98-R067
Albert E. Parmenter v. Heritage West Financial, Inc., Scott Donald Turesky and Vision Limited Partnership
Date filed: 1/9/98
Allegation(s): Misrepresentation, Manipulation, Unauthorized Trading, Non-disclosure and Fraud
Amount Claimed: \$8,937.00
Status: Case Terminated/Settled 3/24/98

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56. 98-R069
Serrel W. Black v. First Pacific Trading Group, William Dean Katzelis and Vision Limited Partnership
Date filed: 1/20/98
Allegation(s): Misrepresentation, Unauthorized Trading and Churning
Amount Claimed: \$7,497.00
Status: Order of Dismissal 10/28/98
57. 98-R084
Robert and Helen Mac Alvanah v. Edward Thomas Trading Co. and Vision Limited Partnership
Date filed: 2/4/98
Allegation(s): Misrepresentation
Amount Claimed: \$9,727.88
Status: Order of Dismissal 7/1/98
58. 98-R110
Dimitrios Samaras v. Futures Trading Group, Inc., Mark Ira Schwartz and Vision Limited Partnership
Date filed: 3/19/98
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Non-disclosure, Churning, Unauthorized Trading and Fraud
Amount Claimed: \$33,256.10
Status: Order of Dismissal 11/6/98
59. 98-R117
Nathan Meinhardt v. Vision Limited Partnership
Date filed: 3/31/98
Allegation(s): Mishandling Orders and Non-disclosure
Amount Claimed: \$2,898.00
Status: Case Terminated/Settled 6/8/98
60. 98-R119
Investquest Corporation v. Adam Michael Friedman, Bruce Eugene Hintze, Vision Limited Partnership and The Winner Group, Inc.
Date filed: 4/2/98
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Failure to Supervise and Fraud
Amount Claimed: \$23,500.00
Status: Case Terminated 5/20/98

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61. 98-R134
John T. Stone v. First Pacific Trading Group, Shahin Maleki and Vision Limited Partnership
Date filed: 4/24/98
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Unauthorized Trading and Churning
Amount Claimed: \$10,000.00
Status: Initial Decision/ Dismissed 12/17/98; Appealed 12/29/98; Order of Summary Affordance 5/13/99
62. 98-R144
Rudolph Kodras v. Masoud Asadi-Saravi, Joseph George Diliberto, MAS Financial Services, Inc., Taiyo General USA, Inc., and Vision Limited Partnership
Date filed: 5/19/98
Allegation(s): Misrepresentation and Unauthorized Trading
Amount Claimed: \$12,468.45
Status: Order of Dismissal 5/11/99
63. 98-R181
Kristi S. Ryan v. Donald Charles Baldaramos, LFG L.L.C., M G Globe Trading Company, Inc., Transamerican First Corporation d/b/a Inter-Global Financial Corporation and Vision Limited Partnership
Date filed: 7/17/98
Allegation(s): Misrepresentation, Breach of Fiduciary Duty, Negligence, Churning and Unauthorized Trading
Amount Claimed: \$13,650.98
Status: Order of Dismissal 2/28/00
64. 99-R001
Kenneth M. Williams v. Yu-Dee Chang and Vision Limited Partnership
Date filed: 9/29/98
Allegation(s): Churning, Failure to Supervise, Misrepresentation, Non-disclosure and Unauthorized Trading
Amount Claimed: \$157,557.78
Status: Order Dismissing Reparation Proceeding 5/10/99

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65. 99-R023
Anthony L. and Nancy E. Gable v. GCC Commodities Corp., George Grigorellis and Vision Limited Partnership
Date filed: 10/28/98
Allegation(s): Churning and Misrepresentation
Amount Claimed: \$13,198.00
Status: Case Terminated/Settled 12/29/98
66. 99-R041
Luis Pina v. Heritage West Financial, Inc., Scott Donald Turesky and Vision Limited Partnership
Date filed: 11/20/98
Allegation(s): Breach of Fiduciary Duty, Failure to Supervise, Fraud, Misrepresentation and Negligence
Amount Claimed: \$18,223.89
Status: Case Dismissed (as to Vision LP and Heritage West Financial, Inc.) 4/7/99
67. 99-R044
Laszlo Vecsei v. Edward Thomas Trading Co., Edward Thomas Gomes and Vision Limited Partnership
Date filed: 11/30/98
Allegation(s): Breach of Fiduciary Duty, Misrepresentation and Non-disclosure
Amount Claimed: \$8,484.57
Status: Case Dismissed/Settled 3/9/99
68. 99-R070
Eric T. Dixon v. Kerry Lansing Brewer, Futures Trading Group, Inc., Patrick Wesley Tchou and Vision Limited Partnership
Date filed: 2/1/99
Allegation(s): Breach of Fiduciary Duty, Failure to Supervise, Misrepresentation and Non-disclosure
Amount Claimed: \$6,430.10
Status: Order of Dismissal for Cause 6/29/99
69. 99-R110
Katherine A. Bitner v. Steven Ruben Robert Alvarez, Pattison Commodities d/b/a S. Bruce Pattison and Vision Limited Partnership
Date filed: 5/6/99
Allegation(s): Churning and Misrepresentation
Amount Claimed: \$2,500.00
Status: Case Dismissed/Settled 7/12/99

**VISION FINANCIAL MARKETS, LLC D/B/A VISION AND D/B/A VISION
LIMITED PARTNERSHIP**

(170 Reparations Cases)

(These are 134 of the most recent cases)

70. 99-R125
Nathan Scott Ihrcke v. Edward Thomas Trading Co., Edward Thomas Gomes and Vision Limited Partnership
Date filed: 6/1/99
Allegation(s): Misrepresentation and Unauthorized Trading
Amount Claimed: \$4,782.95
Status: Case Terminated/Dismissed 9/13/99
71. 99-R136
Dan Myers v. Edward Thomas Treading Co., Edward Thomas Gomes, Vision Limited Partnership and Worthington Corporation
Date filed: 6/22/99
Allegation(s): Churning, Failure Supervise, Fraud and Unauthorized Trading
Amount Claimed: \$8,350.20
Status: Initial Decision/Dismissed 5/26/00
72. 99-R189
John J. Rogers v. First Pacific Trading Group, William Dean Katzelis and Vision Limited Partnership
Date filed: 9/22/99
Allegation(s): Churning, Fraud and Misrepresentation
Amount Claimed: \$2,797.14
Status: Order of Dismissal 3/14/00
73. 00-R006
Paul Chan v. Vision Limited Partnership
Date filed: 10/5/99
Allegation(s): Mishandling Orders
Amount Claimed: Unavailable
Status: Case Terminated/Settled 11/18/99
74. 00-R007
Arjan and Monic Mahtani v. Vision Limited Partnership
Date filed: 10/7/99
Allegation(s): Mishandling Orders
Amount Claimed: Unavailable
Status: Case Terminated/Settled 11/3/99

**VISION FINANCIAL MARKETS, LLC D/B/A VISION AND D/B/A VISION
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(170 Reparations Cases)

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75. 00-R008
Anthony Calascibetta v. Paul William Cissell, III, Cromwell Financial Services, Inc.,
Mitchell Allen Gross, William David Seigler, Jr., Philip Mark Tuccelli and
Vision Limited Partnership
Date filed: 10/04/99
Allegation(s): Fraud, Misrepresentation and Unauthorized Trading
Amount Claimed: \$41,680.00
Status: Order of Dismissal 7/19/00
76. 00-R014
Kristopher C. and Sharon M. Eade v. Yu-Dee Chang, Chesapeake Investment Services,
Inc., Mark Borisovitch Klinov and Vision Limited Partnership
Date filed: 10/26/99
Allegation(s): Failure to Supervise, Fraud, Misrepresentation and Unauthorized Trading
Amount Claimed: \$171,303.00
Status: Order of Dismissal on Settlement 7/13/00
77. 00-R034
Girard Valchine v. Vision Limited Partnership
Date filed: 01/03/00
Allegation(s): Mishandling Orders
Amount Claimed: \$8,400.00
Status: Case Terminated/Settled 3/15/00
78. 00-R100
James A. and Veronica T. Robison v. Vision Limited Partnership, Orion Futures
Group, Inc. and Derek Dobrowolski
Date filed: 7/19/00
Allegations(s) Churning and Misappropriation of Funds
Amount Claimed: \$1,785.00
Status: Final Decision/Dismissed 3/2/01
79. 00-R125
Jitanshu and Vanlata Trivedi v. Yu-Dee Chang, Chesapeake Investment Services,
Inc., Stuart Louis Estler, Mark Borisovitch Klinov, Michael Lynn Smart,
Vanlata Trivedi and Vision Limited Partnership
Date filed: 9/22/00
Allegation(s): Failure to Supervise, Misrepresentation, Non-disclosure
and Unauthorized Trading
Amount Claimed: \$300,862.00
Status: Order of Dismissal on Settlement 6/5/01

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(170 Reparations Cases)

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80. 01-R013
Ilija Djurkovic v. Blue Fish Commodities, Inc., Broadstreet Financial Corporation
Empire Asset Management, Andrew David Fisher, FSG International, Incorporated,
Vision Limited Partnership and Todd A. Young
Date filed: 11/8/00
Allegation(s): Churning, Misrepresentation and Non-disclosure
Amount Claimed: \$15,100.00
Status: Order of Dismissal 9/10/01
81. 01-R048
Rita M. and Robert S. Davis v. Louis R. Ciuferri, Marsha Eleanor Friedman, Jay
Justin Goldberg, Bruce Eugene Hintze, Vision Limited Partnership, Michael
F. Winner and The Winner Group, Inc.
Date filed: 4/4/01
Allegation(s): Churning, Misrepresentation and Non-disclosure
Amount Claimed: \$23,262.80
Status: Order of Dismissal / Settled 8/27/02
82. 01-R054
Heinz F. Biekofsky v. Charles Boratgis, Sammy Lewis Bunyard, Concorde Trading
Group, Inc., Mark Todd Hauze and Vision Limited Partnership
Date filed: 4/11/01
Allegation(s): Breach of Fiduciary Duty and Churning
Amount Claimed: \$60,000.00
Status: Initial Decision 9/27/02 (Respondent Vision LP Ordered to pay, \$54,000)
Notice of Appeal filed by Vision 10/8/02; Opinion and Order 3/5/03 (Complaint
Against Vision LP Dismissed)
83. 01-R072
Daniel M. Keener and Sally Keener v. Scott Evan Rautbord, Vision Limited Partnership
and The Winner Group, Inc.
Date filed: 6/6/01
Allegation(s): Churning, Misrepresentation and Non-Disclosure
Amount Claimed: \$27, 720.00
Status: Order of Dismissal 6/6/03

**VISION FINANCIAL MARKETS, LLC D/B/A VISION AND D/B/A VISION
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(170 Reparations Cases)

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84. 01-R073
Sally Keener and Angela L. McConkey v. Scott Evan Rautbord, Vision Limited Partnership and The Winner Group, Inc.
Date filed: 6/6/01
Allegation(s): Misrepresentation, Non-Disclosure and Unauthorized Trading
Amount Claimed: \$9,379.00
Status: Order of Dismissal 6/6/03
85. 02-R043
Ruth S. Stewart and William F. Stewart v. Yu-Dee Chang, Chesapeake Investment Services, Inc., Stuart Louis Estler, Mark Borisovitch Klinov and Vision Limited Partnership
Date filed: 04/18/02
Allegation(s): Failure to Supervise and Misrepresentation
Amount Claimed: \$112,817.00
Status: Order Dismissing Reparation Proceeding 9/30/02
86. 02-R066
John M. Plank v. Richard Teal Barney, Yu-Dee Chang, Chesapeake Investment Services, Inc. and Vision Limited Partnership
Date filed: 7/31/02
Allegation(s): Breach of Fiduciary Duty, Churning, Fraud, Misrepresentation and Non-disclosure
Amount Claimed: \$474,407.00
Status: Order Granting Application For Interlocutory Review/Dismissed 9/8/05
87. 03-R027
Edward T. Reilly v. Edward Thomas Trading Co., Edward Thomas Gomes and Vision Limited Partnership
Date filed: 12/27/02
Allegation(s): Breach of Fiduciary Duty, Misrepresentation and Non-disclosure
Amount Claimed: \$ 13,161.90
Status: Final Decision/Dismissed 7/22/03
88. 03-R038
Fred W. Smith, Sr. and Phyllis Smith v. Yu-Dee Chang, Chesapeake Investment Services, Inc., Carla Yvonne Mora, Phyliss Smith and Vision Limited Partnership
Date filed: 03/15/03
Allegation(s): Misrepresentation, Non-disclosure, Unauthorized Trading and Wrongful Liquidation
Amount Claimed: \$14,614.55
Status: Order of Dismissal with Prejudice 1/29/04

**VISION FINANCIAL MARKETS, LLC D/B/A VISION AND D/B/A VISION
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(170 Reparations Cases)
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89. 03-R039
Fred W. Smith, Jr. v. Yu-Dee Chang, Chesapeake Investment Services, Inc., Carla Yvonne Mora and Vision Limited Partnership
Date filed: 03/14/03
Allegation(s): Churning, Misrepresentation, Non-disclosure and Unauthorized Trading
Amount Claimed: \$23,700.49
Status: Order of Dismissal with Prejudice 1/29/04
90. 03-R043
Dolores P. Lemm v. Lynn Arthur Comstock, Sr., Essex Futures, Shahin Maleki and Vision Limited Partnership
Date filed: 04/03/03
Allegation(s): Breach of Fiduciary Duty, Churning, Mishandling Orders, Misrepresentation and Unauthorized Trading
Amount Claimed: \$10,801.41
Status: Order of Dismissal 4/22/04
91. 03-R044
James C. Jensen v. Time Leverage Capital Corporation and Vision Limited Partnership
Date filed: 03/24/03
Allegation(s): Mishandling Orders
Amount Claimed: \$15,345.48
Status: Case Terminated/Settled 7/2/03
92. 03-R048
Mukesh K. and Bharti M. Thaker v. Yu-Dee Chang, Chesapeake Investment Services, Inc., Ben Allen Scarbrough and Vision Limited Partnership
Date filed: 4/10/03
Allegation(s): Churning, Misrepresentation and Unauthorized Trading
Amount Claimed: \$8,612.44
Status: Order of Dismissal 3/26/04
93. 03-R051
Richard R. Fiscus v. Steven Fellig, Time Leverage Capital Corporation and Vision Limited Partnership
Date filed: 4/15/03
Allegation(s): Breach of Fiduciary Duty, Misrepresentation and Non-disclosure
Amount Claimed: \$7,692.50
Status: Order of Dismissal 7/8/04

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94. 03-R072
Delward L. Jenson v. Essex Futures, Alex Robert Lozano and Vision Limited Partnership
Date filed: 7/15/03
Allegation(s): Churning and Unauthorized Trading
Amount Claimed: \$7,067.17
Status: Case Terminated/Settled 11/26/03
95. 04-R004
Theodore F. Plottner v. Michael Paul Agnesini, Blue Fish Commodities, Inc. and Vision Limited Partnership
Date filed: 10/22/03
Allegation(s): Mis-Management and Misrepresentation
Amount Claimed: \$2,105.35
Status: Case Terminated/Settled 1/13/04
96. 04-R080
Malika Talwar v. Yu-Dee Chang, Chesapeake Investment Services, Inc., Vision Limited Partnership and Ray Yzer a/k/a Rendelle Anthony Yzer
Date filed: 8/4/04
Allegation(s): Misrepresentation
Amount Claimed: \$124,753.98
Status: Order of Dismissal/Dismissed 5/18/05
97. 05-R010
Orville A. Feikema v. Investment Analysis Group, Inc., Michael John Sabo, Vision Limited Partnership and William Clark Zaleski
Date filed: 11/8/04
Allegation(s): Churning and Misrepresentation
Amount Claimed: \$21,425.00
Status: Order of Dismissal/Settled 2/2/06
98. 05-R043
Ronald W. Weddell v. Stanley Vernon Burnidge, Burnidge Commodities d/b/a Stanley Vernon Burnidge and Vision LP d/b/a Vision Limited Partnership
Date filed: 3/30/05
Allegation(s): Breach of Fiduciary Duty, Misrepresentation, Negligence and Non-disclosure
Amount Claimed: \$327,191.58
Status: Dismissal on Settlement 8/12/05

**VISION FINANCIAL MARKETS, LLC D/B/A VISION AND D/B/A VISION
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99. 05-R063
William Croce Profit Sharing Plan v. Vision Limited Partnership
Date filed: 6/28/05
Allegation(s): Mishandling Orders
Amount Claimed: \$332,070.65
Status: Order of Dismissal 3/23/06
100. 05-R077
Stephen McCabe v. Investment Analysis Group, Inc., Michael John Sabo and Vision Limited Partnership
Date filed: 9/8/05
Allegation(s): Misrepresentation and Non-disclosure
Amount Claimed: \$3,300.00
Status: Case Terminated/Settled 10/28/05
101. 05-R080
Harold and Catherine Ann Neagle v. Aliso Trading Group, LLC, Todd Matthew Esparza and Vision Limited Partnership
Date filed: 9/17/05
Allegation(s): Churning and Misrepresentation
Amount Claimed: \$18,993.36
Status: Case Terminated/Settled 11/25/05
102. 05-R086
Richard S. Numbers, Trustee, The Richard S. Numbers Revocable Trust v. Stephen Randall Moore, Vision Limited Partnership and Randall Worldwide Investments d/b/a Sidaboyz, Inc.
Date filed: 9/27/05
Allegation(s): Breach of Fiduciary Duty, Mishandling Orders, Misrepresentation, Non-disclosure and Unauthorized Trading
Amount Claimed: \$100,804.00
Status: Case Terminated/Settled as to Vision LP 1/17/06
103. 06-R002
James D. Frakes v. Essex Futures, William Dean Katzelis, James Mark Murphy and Vision Limited Partnership
Date filed: 10/3/05
Allegation(s): Churning and Unauthorized Trading
Amount Claimed: \$5,703.94
Status: Case Terminated/Settled as to Vision LP 2/17/06

**VISION FINANCIAL MARKETS, LLC D/B/A VISION AND D/B/A VISION
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104. 06-R010
David A. Orndorff v. Direct Futures, LLC d/b/a Lasalle Futures Group, Devon Dierdre Dudley a/k/a William James Dudley and Vision Limited Partnership
Date filed: 10/25/05
Allegation(s): Fraud, Misrepresentation and Non-disclosure
Amount Claimed: \$3,300.00
Status: Order of Dismissal/Settled 9/27/06
105. 06-R030
Richard H. and Charlotte Hammond v. Lynn Arthur Comstock, Sr., Essex Futures and Vision Limited Partnership
Date filed: 1/30/06
Allegation(s): Churning and Misrepresentation
Amount Claimed: \$ 9,100.00
Status: Case Terminated/Settled 5/5/06
106. 06-R054
Pon Lee v. Thomas John Lee, Thomas J. Lee d/b/a Lee Capital Management and Vision Limited Partnership
Date filed: 8/4/06
Allegation(s): Breach of Fiduciary Duty, Churning, Misrepresentation and Non-disclosure
Amount Claimed: \$382,057.80
Status: Order of Summary Disposition (Complaint Dismissed) 3/13/07
107. 07-R001
Thomas Cost v. Chahir Geraigiri a/k/a Chad Geraigiri, Optimus Trading Group, LLC, Vision Financial Markets, LLC and Matthew Zimberg
Date filed: 10/3/06
Allegation(s): Misrepresentation, Unauthorized Trading and Wrongful Liquidation
Amount Claimed: \$30,255.00
Status: Order of Dismissal/Settled 8/2/07
108. 07-R002
Betty Wallace Trust, Betty Wallace, Trustee v. Cybercta.Com, LLC d/b/a Edgemoore Financial, Edgemoore Trading and Edgemoore Financial Management, David Moore and Vision Limited Partnership
Date filed: 10/6/06
Allegation(s): Churning and Misrepresentation
Amount Claimed: \$28,500.00
Status: Case Terminated/Settled 11/8/06

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(170 Reparations Cases)

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109. 08-R002
Roger Johnson (account number 218983) v. Ace Investment Strategists LLC, Yu-Dee Chang, Chesapeake Investment Services, Inc., Marie Hassib Fadel and Vision Financial Markets LLC d/b/a Vision
Date filed: 9/26/07
Allegation(s): Breach of Fiduciary Duty, Failure to Supervise, Fraud, Negligence and Unauthorized Trading
Amount Claimed: \$19,096.90
Status: Order of Dismissal/Settled 11/24/08
110. 08-R003
Roger Johnson (account number 888300) v. Ace Investment Strategists LLC, Yu-Dee Chang, Chesapeake Investment Services, Inc., Marie Hassib Fadel and Vision Financial Markets LLC d/b/a Vision
Date filed: 9/26/07
Allegation(s): Breach of Fiduciary Duty, Failure to Supervise, Fraud, Misrepresentation, Negligence and Unauthorized Trading
Amount Claimed: \$11,633.30
Status: Order of Dismissal/Settled 11/24/08
111. 08-R004
Roger Johnson (account number 888295) v. Ace Investment Strategists LLC, Yu-Dee Chang, Chesapeake Investment Services, Inc., Marie Hassib Fadel and Vision Financial Markets LLC d/b/a Vision
Date filed: 9/26/07
Allegation(s): Breach of Fiduciary Duty, Failure to Supervise, Fraud, Misrepresentation, Negligence and Unauthorized Trading
Amount Claimed: \$14,887.50
Status: Order of Dismissal/Settled 11/24/08
112. 08-R005
Theresa Belanger v. Alessandro Abaroa a/k/a Al Abaroa, Time Leverage Capital Corporation and Vision Financial Markets LLC d/b/a Vision
Date filed: 10/18/07
Allegation(s): Misrepresentation and Non-disclosure
Amount Claimed: \$61,500.00
Status: Case Terminated/Settled 2/8/08

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(170 Reparations Cases)
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113. 08-R023
Hsue Tung v. James Michael Garasz, Orion Futures Group, Inc. and Vision Financial Markets LLC
Date filed: 2/11/08
Allegation(s): Fraud, Misrepresentation and Non-disclosure
Amount Claimed: \$5,113.56
Status: Case Terminated/Settled (as Respondents Vision Financial Markets LLC and Orion Futures Group, Inc.) 6/12/08
114. 08-R049
Rudolph Kodras v. 20/20 Trading Company, Man Financial, Inc. d/b/a MF Global, Inc., Sharief Deona McDowell and Vision Financial Markets LLC d/b/a Vision
Date filed: 8/26/08
Allegation(s): Misrepresentation and Non-disclosure
Amount Claimed: \$360,000.00
Status: Order of Dismissal/Dismissed 7/8/09
115. 09-R009
Andrea Hallock and Cliff Hallock v. Chesapeake Investment Services, Inc., Vision Financial Markets LLC and John Zhang a/k/a Kun Zhang
Date filed: 11/10/08
Allegation(s): Fraud and Misrepresentation
Amount Claimed: \$75,000.00
Status: Order of Dismissal/Dismissed 7/16/09
116. 09-R022
Steven Weil v. Direct Futures, LLC d/b/a LaSalle Futures Group, Vision Financial Markets LLC and David Eugene Unit
Date filed: 12/31/08
Allegation(s): Churning, Misrepresentation and Non-disclosure
Amount Claimed: \$33,479.39
Status: Case Terminated/Settled (as to Vision Financial Markets LLC and Direct Futures, LLC d/b/a LaSalle Futures Group) 8/12/09

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117. 09-R023
Wayne Goldman v. Ace Investment Strategists LLC, Yu-Dee Chang, Essex Futures, William Dean Katzelis, Shahin Maleki, Vishal Olson and Vision Financial Markets LLC
Date filed: 1/21/09
Allegation(s): Breach of Fiduciary Duty, Churning, Failure to Supervise, Negligence and Misrepresentation
Amount Claimed: \$225,172.00
Status: Order of Dismissal/Dismissed 6/22/09
118. 09-R031
Natasha Weil and Steven Weil v. Direct Futures, LLC d/b/a LaSalle Futures Group, Vision Financial Markets LLC and David Eugene Unit
Date filed: 3/17/09
Allegation(s): Churning, Misrepresentation and Non-disclosure
Amount Claimed: \$4,607.59
Status: Case Terminated/Settled (as to Vision Financial Markets LLC and Direct Futures, LLC d/b/a LaSalle Futures Group) 8/12/09
119. 09-R032
Rebecca Weil and Steven Weil v. Direct Futures, LLC d/b/a LaSalle Futures Group Vision Financial Markets LLC and David Eugene Unit
Date filed: 4/1/09
Allegation(s): Churning, Misrepresentation and Non-disclosure
Amount Claimed: \$1,727.00
Status: Case Terminated/Settled (as to Vision Financial Markets LLC and Direct Futures, LLC d/b/a LaSalle Futures Group) 8/12/09
120. 09-R040
Scott Stiewing v. Julio Cesar Aquino, Namrata Kapoor, Roslex Corporation and Vision Financial Markets LLC
Date filed: 5/19/09
Allegation(s): Churning, Misrepresentation and Non-disclosure
Amount Claimed: \$6,000.00
Status: Case Terminated/Settled 2/4/10

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121. 09-R051
Amy P. Chu v. Essex Futures, Shahin Maleki, Gholamreza Shirazi and Vision Financial Markets LLC
Date filed: 7/25/09
Allegation(s): Breach of Fiduciary Duty, Churning, Fraud and Misrepresentation
Amount Claimed: \$69,704.00
Status: Order of Dismissal 9/23/10
122. 09-R056
Victor Valderrama v. 20/20 Trading Company, Bharat Adatia, Sharief Deona McDowell and Vision Financial Markets LLC
Date filed: 9/1/09
Allegation(s): Churning, Misrepresentation and Non-disclosure
Amount Claimed: \$15,393.15
Status: Case Dismissed (as to Vision Financial Markets LLC) 12/29/09
123. 10-R007
Craig Garske v. Jay William Rutkowsky, Time Leverage Capital Corporation, Vision Financial Markets LLC and Roy Weiler
Date filed: 1/6/10
Allegation(s): Churning, Mis-Management and Misrepresentation
Amount Claimed: \$18,000.00
Status: Case Terminated/Settled 6/10/10
124. 10-R012
Kenneth R. Koehler v. George Antonio Burrafato, Direct Futures, LLC d/b/a LaSalle Futures Group and Vision Financial Markets LLC
Date filed: 2/18/10
Allegation(s): Misrepresentation and Non-disclosure
Amount Claimed: \$9,440.13
Status: Case Terminated/Settled 6/16/10
125. 10-R028
Jai Paul Swamidass v. Blue Fish Commodities, Inc., Andrew David Fisher and Vision Financial Markets, LLC d/b/a Vision
Date filed: 8/18/10
Allegation(s): Misrepresentation, Churning and Unauthorized Trading
Amount Claimed: \$165,000.00
Status: Order of Dismissal/Settled 8/23/12

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126. 11-R007
Commercial Investment Capital, Inc. v. Blue Fish Commodities, Inc., Andrew David Fisher and Vision Financial Markets, LLC d/b/a Vision
Date filed: 11/29/10
Allegation(s): Misrepresentation, Unauthorized Trading and Churning
Amount Claimed: \$250,000.00
Status: Order of Dismissal/Settled 8/23/12
127. 11-R025
Virgil G. Bogdan v. Richard Ian Lowe, Options Pro Corp., Vision Financial Markets, LLC d/b/a Vision
Date filed: 6/20/11
Allegation(s): Misrepresentation and Non-disclosure
Amount Claimed: \$20,036.22
Status: Case Terminated 1/31/12
128. 12-R006
Seth Hauser v. Craig Richard Pace, United Futures Trading Company and Vision Financial Markets, LLC d/b/a Vision
Date filed: 11/14/11
Allegation(s): Misrepresentation, Non-disclosure and Fraud
Amount Claimed: \$5,193.00
Status: Case Terminated 4/2/12
129. 12-R011
John and Julie Pappalardo v. Jonathan Peter Ho, Ace Investment Strategists, LLC, Yu-Dee Chang, Chesapeake Investment Services, Inc., Vishal Olson and Vision Financial Markets, LLC d/b/a Vision
Date filed: 2/10/12
Allegation(s): Misrepresentation and Non-Disclosure
Amount Claimed: \$42,654.81
Status: Case Terminated/Settled 6/11/12

134. 12-R020
Randolph Dyer v. Option Investments, Inc. and Vision Financial Markets LLC d/b/a Vision
Date filed: 4/2/12
Allegation(s): Misrepresentation and Churning
Amount Claimed: \$3,429.59
Status: Case Terminated 9/17/12
131. 12-R028
Cia Amir v. Vision Financial Markets LLC
Date filed: 5/15/12
Allegation(s): Breach of Fiduciary Duty and Wrongful Liquidation
Amount Claimed: \$14,504.38
Status: Case Dismissed in Complaints Section/Settled 11/14/12
132. 13-R011
Drew Reynolds v. Vision Financial Markets LLC
Date filed: 4/3/13
Allegation(s): Mishandling of Orders and Misrepresentation
Amount Claimed: \$398.70
Status: Case Dismissed in Complaints Section/Settled 7/5/13
133. 14-R003
Kwong Chao v. Chesapeake Investment Services, Inc., Benjamin Kim, and Vision Financial Markets LLC
Date filed: 12/13/13
Allegation(s): Misrepresentation and Non-Disclosure
Amount Claimed: \$1,000
Status: Case Dismissed in Complaints Section/Settled 4/25/14
134. 14-R006
Charles L. Bartlett v. Essex Futures, Luke C. Nichols, and Vision Financial Markets LLC
Date filed: 1/8/14
Allegation(s): Churning and Misrepresentation
Amount Claimed: \$72,991.11
Status: Order of Dismissal/Settled 6/14/16

Updated as of 12/18/20 lrd/tst/mh/nc/tst/bp